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A NEW WAY FOR CONSTRUCTING HIGHER ORDER ACCURACY SPLINE SMOOTHING ETC(U)

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A NEW WAY FOR CONSTRUCTING  
HIGHER ORDER ACCURACY SPLINE  
SMOOTHING FORMULAS

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A NEW WAY FOR CONSTRUCTING HIGHER ORDER  
ACCURACY SPLINE SMOOTHING FORMULAS.

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ABSTRACT

In this paper the author introduces the operator  $\bar{\Delta}^{(n)} := P_n(\mu)\bar{\Delta}$  with higher order accuracy for approximation to the differential operator  $D$ , where  $\bar{\Delta}$  denotes centered difference operator,  $\mu$  denotes averaging operator,

$$P_n(\mu) = \sum_{m=0}^n C_m (\mu - I)^m, C_m = -\frac{m}{2m+1} C_{m-1}, C_0 = 1 .$$

A class of new many-knot spline basis  $\Omega_{k,n} := (P_n(\mu))^k_{N_k}$  was suggested. The smoothing formulas

$$f_{k,n} = \frac{1}{h} \int_{-\infty}^{\infty} \Omega_{k,n} \left( \frac{\cdot-t}{h} \right) f(t) dt \text{ and } s_{k,n} f = \sum f_i \Omega_{k,n}$$

are discussed.

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## SIGNIFICANCE AND EXPLANATION

I. J. Schoenberg studied B-splines and established some smoothing formulas for fitting data. In particular the smoothing approximation

$s_k f = \sum f_i N_{i,k}$  (where  $N_{i,k}$  are B-splines and  $f$  is an arbitrary function) has been successfully used in curve fitting. The paper proposes a new class of spline function denoted  $\Omega_{i,k}$  instead of  $N_{i,k}$ . The new approximation

$s_{k,n} f = \sum f_i \Omega_{i,k}$  achieves higher order accuracy. To construct  $\Omega_{i,k}$ , we first introduce the averaging operator  $P_n(\mu)$ ,  $P_n(x) = \sum_{m=0}^n C_m (x-1)^m$ ,  $C_m = -\frac{m}{2m+1} C_{m-1}$ ,  $C_0 = 1$ , and then define  $\Omega_{i,k} := [P_n(\mu)]^k N_{i,k}$ . The smoothing formulas for function  $f$  are given by  $f_{k,n} = \frac{1}{h} \int_{-\infty}^{\infty} \Omega_{k,n} (\frac{-t}{h}) f dt$  and  $s_{k,n} f = \sum f_i \Omega_{i,k,n}$ .

A NEW WAY FOR CONSTRUCTING HIGHER ORDER  
ACCURACY SPLINE SMOOTHING FORMULAS

Dong-Xu Qi\*

The modern mathematical theory of spline approximation was introduced by I. J. Schoenberg in 1946. In the paper [6] he studied so-called "B-spline basis". A B-spline basis can be normalized in various ways. One of them is the so called normalized B-spline, see [2], denoted by  $N_{i,k}$  for the B-spline function of degree  $k - 1$  having support  $(x_i, x_{i+k})$ . The spline smoothing formula for degree  $k - 1$  to an arbitrary function  $f$  can be represented by  $S_k f = \sum f_i N_{i,k}$ . This approximation has been used in curve fitting successfully [1], [4].

In order to improve accuracy of the smoothing operator  $S_k$ , the author in this paper suggests a new spline basis denoted  $\Omega_{i,k,n}$  instead of  $N_{i,k}$ . Thus, a new way for the construction of spline smoothing formulas is introduced. I prefer calling  $S_{k,n} f = \sum f_i \Omega_{i,k,n}$  a smoothing operator with grade n and order k. In here when  $n = 0$ ,  $\Omega_{i,k,0}$  is just  $N_{i,k}$  and  $S_{k,0}$  is the same as  $S_k$ . Since  $S_{k,n} f \in \varphi_k + \varphi_k^*$ , this is a class of many-knot splines.

Concerning higher order accuracy spline smoothing formulas, I. J. Schoenberg [1946] has already discussed in [6] and Z. S. Liang studied the many-knot spline smoothing [4]. My main attempt in this paper is to suggest a new way for constructing them.

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## 1. The smoothing operator

Denote the centered difference operator by  $\bar{\Delta}_h$ , defined by

$$\bar{\Delta}_h f(x) := f(x + \frac{h}{2}) - f(x - \frac{h}{2}) .$$

For simplicity let  $h = 1$ , and  $\bar{\Delta} := \bar{\Delta}_1$ .

The B-spline of order  $k$  with equally spaced knots are denoted by  $N_k$ , and it can be represented by

$$N_k(x) = (\bar{\Delta} D^{-1})^k \delta(x) , \quad (1.1)$$

$$N_{i,k}(^*) := N_k(^*-i) , \quad (1.2)$$

where  $D^{-1}$  is the integral operator,  $\delta$  is Dirac  $\delta$ -function.

It is our purpose to find a more exact difference approximation to the operator  $D$ . I would like to choose following ready-made identity.

Fact 1.1 ([5] p. 43)

$$\log(y + \sqrt{1 + y^2}) = \sqrt{1 + y^2} \sum_{m=0}^{\infty} (-1)^m \frac{2^m (m!)^2}{(2m+1)!} y^{2m+1} . \quad (1.3)$$

Fact 1.2 The following expansion

$$x = sh x \sum_{m=0}^{\infty} C_m (ch x - 1)^m \quad (1.4)$$

holds. Set

$$(2m+1)!! := (2m+1)(2m-1)\dots3\cdot1 ,$$

then

$$C_m = -\frac{m}{2m+1} C_{m-1} = (-1)^m \frac{m!}{(2m+1)!!}, C_0 = 1 .$$

Proof From (1.3)

$$\begin{aligned}\log(y + \sqrt{1 + y^2}) &= \sqrt{1 + y^2} \sum_{m=0}^{\infty} (-1)^m \frac{m!}{(2m+1)!!} 2^m y^{2m+1} \\ &= \sqrt{1 + y^2} \sum_{m=0}^{\infty} c_m 2^m y^{2m+1}.\end{aligned}$$

Let  $y = \operatorname{sh} \frac{x}{2}$ , then  $\operatorname{ch} \frac{x}{2} = \sqrt{1 + y^2}$ ,  $x = 2 \log(y + \sqrt{1 + y^2})$ . Thus

$$\begin{aligned}x &= 2 \operatorname{ch} \frac{x}{2} \sum_{m=0}^{\infty} c_m 2^m \left(\operatorname{sh} \frac{x}{2}\right)^{2m+1} \\ &= 2 \operatorname{ch} \frac{x}{2} \operatorname{sh} \frac{x}{2} \sum_{m=0}^{\infty} c_m \left(2 \operatorname{sh}^2 \frac{x}{2}\right)^m \\ &= \operatorname{sh} x \sum_{m=0}^{\infty} c_m (\operatorname{ch} x - 1)^m.\end{aligned}$$

Introduce operators  $E$  and  $\mu_\alpha$  defined by

$$E^\alpha f(x) := f(x + \alpha),$$

$$\mu_\alpha f(x) := \frac{1}{2} (f(x + \frac{\alpha}{2}) + f(x - \frac{\alpha}{2})), \quad \mu := \mu_1,$$

and notice the relationships between those operators (see [3], p. 230)

$$E = e^D, \quad \operatorname{ch} \frac{D}{2} = \mu,$$

$$2 \operatorname{sh} \frac{D}{2} = e^{\frac{D}{2}} - e^{-\frac{D}{2}} = E^{\frac{1}{2}} - D^{-\frac{1}{2}} = \bar{D}.$$

Use  $\frac{D}{2}$  and  $I$  instead of  $x$  and  $1$  in (1.4)

$$\begin{aligned}
 D &= 2 \operatorname{sh} \frac{D}{2} \sum_{m=0}^{\infty} C_m (\operatorname{ch} \frac{D}{2} - I)^m \\
 &= \sum_{m=0}^{\infty} C_m (\mu - I)^m \bar{\Delta} \\
 &= \sum_{m=0}^n C_m (\mu - I)^m \bar{\Delta} + R_n , \tag{1.5}
 \end{aligned}$$

where

$$R_n := 2 \operatorname{sh} \frac{D}{2} \sum_{m=n+1}^{\infty} C_m (\operatorname{ch} \frac{D}{2} - I)^m . \tag{1.6}$$

Define  $\bar{\Delta}^{(n)}$  as the first part of (1.5), i.e.,

$$\bar{\Delta}^{(n)} := \sum_{m=0}^n C_m (\mu - I)^m \bar{\Delta} = P_n(\mu) \bar{\Delta} ,$$

where

$$P_n(\mu) = \sum_{m=0}^n C_m (\mu - I)^m = \sum_{j=0}^n 2^{-j} \sum_{m=j}^n (-1)^{m-j} \binom{m}{j} C_m \sum_{i=0}^j \binom{j}{i} \varepsilon^{\frac{1}{2} - i} . \tag{1.7}$$

In the general case, define

$$\bar{\Delta}_h^{(n)} := P_n(\mu_h) \bar{\Delta}_h . \tag{1.8}$$

This is a collection of operators approximate to  $D$ . Beyond doubt  $P_n(1) = 1$ ,

$$P_0(\mu) = I.$$

Fact 1.3 If  $k$  is any nonnegative integer, then the sum of all coefficients of items  $(\mu_h)^j$  in the expansion  $(P_n(\mu_h))^k$  equals to 1.

Notice (1.6), the first term in  $R_n$  for any  $h$

$$C_{n+1} D \left[ \frac{1}{2!} \left( \frac{hD}{2} \right)^2 \right]^{n+1} = 2^{-3(n+1)} C_{n+1} h^{2(n+1)} D^{2n+3} . \tag{1.9}$$

This implies the following:

Theorem 1.1 Assume that  $f \in C^{2n+3}$ . Then

$$\bar{\Delta}_h^{(n)} f(x) = Df(x) - 2^{-3(n+1)} c_{n+1} f^{(2n+3)}(\xi) h^{2(n+1)}$$

where  $\xi \in [x - \frac{n+1}{2} h, x + \frac{n+1}{2} h]$ .

Definition We call the operator  $(\bar{\Delta}_h^{(n)} D^{-1})^k$  a smoothing operator with grade n and degree k.

It is to be noted that  $(\bar{\Delta}_h^{(0)} D^{-1})^k$  is just as with I. J. Schoenberg's.

Here it is the smoothing operator of grade 0 and degree k.

Fact 1.4 From Theorem 1.1, if  $g \in P_{2n+1}$  on  $[a, b]$ , then

$$\bar{\Delta}_h^{(n)} D^{-1} g = g, \text{ all } x \in [a + \frac{n+1}{2} h, b - \frac{n+1}{2} h].$$

## 2. A class of many-knot splines

As has been already pointed out, the B-spline  $N_k$  with equally spaced knots ( $h = 1$ ) is the result of the 0-th grade smoothing operator applied to the Dirac  $\delta$ -function

$$N_k = (\bar{\Delta}^{-1}) N_{k-1} = (\bar{\Delta}^{-1})^k \delta . \quad (2.1)$$

Now we use the smoothing operator  $\bar{\Delta}^{(n)} D^{-1}$  of grade  $n$  for the  $\delta$ -function repeatedly. We can define a class of spline functions which as more knots than  $N_k$ :

$$\Omega_{k,n} := (P_n(\mu))^k N_k \quad (2.2)$$

and

$$\Omega_{i,k,n}(^\circ) := \Omega_{k,n}(^\circ-i) .$$

If  $i = k$ , then  $\Omega_{k,n}(x) = (\bar{\Delta}^{(n)})^k \{x_+^{k-1}\}_{(k-1)!}$  which has knots

$$\xi_j^{(n,k)} = -\frac{(n+1)k-j}{2}, \quad j = 0, 1, \dots, 2(n+1)k, \quad n > 0 .$$

We often take  $i = k$  if without note.

The following facts can be proved easily in the same way as the corresponding facts for  $N_k$ .

### Fact 2.1:

$$(1) \quad \Omega_{k,n}(x) = \Omega_{k,n}(-x);$$

$$(2) \quad \Omega_{k,n}(x) = 0 \text{ for all } |x| > \frac{(n+1)k}{2} ;$$

$$(3) \quad D^m \Omega_{k,n}(x) = (\bar{\Delta}^{(n)})^m \Omega_{k-m,n}(x), \quad 0 < m < k;$$

$$(4) \quad D^{-m} \Omega_{k,n}(x) = (\bar{\Delta}^{(n)})^k \{x_+^{k+m-1}\}_{(k+m-1)!}, \quad m > 0;$$

$$(5) \quad \sum_{j=-\infty}^{\infty} \Omega_{k,n}(x+j) = 1, \quad \int_{-\infty}^{\infty} \Omega_{k,n}(x) dx = 1;$$

(6)  $\Omega_{k,n}$  can be represented by the convolution integral

$$\Omega_{k,n}(x) = \int_{-\infty}^{\infty} \Omega_{k-1,n}(x-t) \Omega_{0,n}(t) dt ;$$

$$(7) \quad \Omega_{k,n}(x) = \frac{1}{2\pi} \int_{-\infty}^{\infty} \Omega_{k,n}(\xi) e^{i\xi x} d\xi$$

$$\Omega_{k,n}(\xi) = \int_{-\infty}^{\infty} e^{-i\xi x} \Omega_{k,n}(x) dx$$

$$= \left[ \frac{\sin(\xi/2)}{\xi/2} P_n(\cos \frac{\xi}{2}) \right]^k$$

(8) Integration by parts:

$$\int_{-\infty}^{\infty} \Omega_{k,n}(x) f(x) dx = (\bar{\Delta}_h^{(n)} D_h^{-1})^k f(0).$$

From the above mentioned facts we have the following theorems:

Theorem 2.1 Assume  $f$  is a continuous function or with discontinuity of the first kind on  $[a,b]$ , and is extended with period  $b-a$  to  $(-\infty, \infty)$ , then

$$\lim_{h \rightarrow 0} \int_{-\infty}^{\infty} \delta_h(x-t) f(t) dt = \frac{1}{2} (f(x+0) + f(x-0)) ;$$

If  $f$  is a function whose derivatives of order  $\ell$  is continuous or is a discontinuity of the first kind on  $[a,b]$ , then

$$\lim_{h \rightarrow 0} \int_{-\infty}^{\infty} \frac{d^\ell}{dx^\ell} \delta_h(x-t) f(x) dt = \frac{1}{2} (f^{(\ell)}(x+0) + f^{(\ell)}(x-0)) ,$$

where

$$\delta_h(x) := \frac{1}{h} \Omega_{k,n}\left(\frac{x}{h}\right) .$$

This Theorem shows that the many-knot spline function  $\delta_h$  converges weakly to the Dirac  $\delta$ -function.

Theorem 2.2 Given the function  $f$ , define its many-knot spline smoothing function by

$$f_{k,n} := \bar{\Delta}_h^{(n)} D_h^{-1} f_{k-1,n} = (\bar{\Delta}_h^{(n)} D_h^{-1})^k f . \quad (2.3)$$

Then

$$f_{k,n} = \frac{1}{h} \int_{-\infty}^{\infty} Q_{k,n}\left(\frac{x-t}{h}\right) f(t) dt . \quad (2.4)$$

Theorem 2.3 If  $f \in C^k(-\infty, \infty)$ , then

$$\int_{-\infty}^{\infty} |f_{k,n}^{(k)}(x)|^2 dx < \int_{-\infty}^{\infty} |f^{(k)}(x)|^2 dx . \quad (2.5)$$

Proof Take the derivative of order  $k$  for (2.4), and the integration by parts, and notice that

$$\left| \frac{\sin x}{x} P_n(\cos x) \right| < 1 .$$

If  $f$  is a discrete valued function  $y_i = f(x_i)$ ,  $x_i = x_0 + ih$ , then a numerical smoothing formula is as follows:

$$S_{k,n} f := \sum_j y_j Q_{k,n}\left(\frac{x_i - x_j}{h}\right) . \quad (2.6)$$

Formula (2.6) can be efficiently applied to the problems of curve fitting for discrete data.

### 3. Examples

In this section some discussions which are helpful for applications in practice will be given.

From (2.2), with  $l = k$ ,  $n = 1$ ,  $k = 1, 2, 3, 4$ , we show the particular representations as follows:

$$\Omega_{1,1}(x) = \begin{cases} \frac{7}{6}, & |x| < \frac{1}{2}, \\ \frac{1}{2}, & |x| = \frac{1}{2}, \\ -\frac{1}{6}, & \frac{1}{2} < |x| < 1, \\ -\frac{1}{12}, & |x| = 1, \\ 0, & |x| > 1; \end{cases}$$

$$\Omega_{2,1}(x) = \begin{cases} \frac{50}{36} - \frac{65}{36}|x|, & |x| < \frac{1}{2}, \\ \frac{42}{36} - \frac{49}{36}|x|, & \frac{1}{2} < |x| < 1, \\ -\frac{22}{36} + \frac{15}{36}|x|, & 1 < |x| < \frac{3}{2}, \\ \frac{2}{36} - \frac{1}{36}|x|, & \frac{3}{2} < |x| < 2, \\ 0, & |x| > 2; \end{cases}$$

$$\Omega_{3,1}(x) = \begin{cases} \frac{462}{432} - \frac{878}{432}x^2, & |x| < \frac{1}{2}, \\ \frac{858}{432} - \frac{1584}{432}|x| + \frac{706}{432}x^2, & \frac{1}{2} < |x| < 1, \\ \frac{471}{432} - \frac{810}{432}|x| + \frac{319}{432}x^2, & 1 < |x| < \frac{3}{2}, \\ -\frac{627}{432} + \frac{654}{432}|x| - \frac{169}{432}x^2, & \frac{3}{2} < |x| < 2, \\ \frac{141}{432} - \frac{114}{432}|x| + \frac{23}{432}x^2, & 2 < |x| < \frac{5}{2}, \\ -\frac{9}{432} + \frac{6}{432}|x| - \frac{1}{432}x^2, & \frac{5}{2} < |x| < 3, \\ 0, & |x| > 3; \end{cases}$$

$$\Omega_{4,1}(x) = \begin{cases} \frac{7920}{7776} - \frac{20556}{7776} x^2 + \frac{13059}{7776} |x|^3, & |x| < \frac{1}{2}, \\ \frac{8444}{7776} - \frac{3144}{7776} |x| - \frac{14268}{7776} x^2 + \frac{8867}{7776} |x|^3, & \frac{1}{2} \leq |x| < 1, \\ \frac{25212}{7776} - \frac{53448}{7776} |x| + \frac{36036}{7776} x^2 - \frac{7901}{7776} |x|^3, & 1 \leq |x| < \frac{3}{2}, \\ \frac{4152}{7776} - \frac{11328}{7776} |x| + \frac{7956}{7776} x^2 - \frac{1661}{7776} |x|^3, & \frac{3}{2} \leq |x| < 2, \\ -\frac{22440}{7776} + \frac{28560}{7776} |x| - \frac{11988}{7776} x^2 + \frac{1663}{7776} |x|^3, & 2 \leq |x| < \frac{5}{2}, \\ \frac{9060}{7776} - \frac{9240}{7776} |x| + \frac{3132}{7776} x^2 - \frac{353}{7776} |x|^3, & \frac{5}{2} \leq |x| < 3, \\ -\frac{1308}{7776} + \frac{1128}{7776} |x| - \frac{324}{7776} x^2 + \frac{31}{7776} |x|^3, & 3 \leq |x| < \frac{7}{2}, \\ \frac{64}{7776} - \frac{48}{7776} |x| + \frac{12}{7776} x^2 - \frac{1}{7776} |x|^3, & \frac{7}{2} \leq |x| < 4, \\ 0, & |x| \geq 4. \end{cases}$$

From (2.2) the following tables are given:

Table 1:

x	$N_1(x)$	$\Omega_{1,1}(x)$
0	1	$\frac{7}{6}$
$\pm \frac{1}{2}$	$\frac{1}{2}$	$\frac{1}{2}$
$\pm 1$		$-\frac{1}{12}$

Table 2:

0	$N_2(x)$	$\Omega_{2,1}(x)$	
		$\ell = 1$	$\ell = 2$
0	1	$\frac{7}{6}$	$\frac{100}{72}$
$\pm \frac{1}{2}$	$\frac{1}{2}$	$\frac{1}{2}$	$\frac{35}{72}$
$\pm 1$		$-\frac{1}{12}$	$-\frac{14}{72}$
$\pm \frac{3}{2}$			$\frac{1}{72}$

Table 3

x	N <sub>3</sub> (x)	Ω <sub>3,1</sub> (x)			Ω <sub>3,1</sub> <sup>n</sup> (x)
		l = 1	l = 2	l = 3	
0	$\frac{3}{4}$	$\frac{40}{48}$	$\frac{270}{288}$	$\frac{1848}{1728}$	0
$\pm \frac{1}{2}$	$\frac{1}{2}$	$\frac{25}{48}$	$\frac{156}{288}$	$\frac{970}{1728}$	$\mp \frac{878}{432}$
$\pm 1$	$\frac{1}{8}$	$\frac{4}{48}$	$\frac{8}{288}$	$\frac{-80}{1728}$	$\mp \frac{172}{432}$
$\pm \frac{3}{2}$		$-\frac{1}{48}$	$-\frac{12}{288}$	$-\frac{105}{1728}$	$\pm \frac{147}{432}$
$\pm 2$			$\frac{1}{288}$	$\frac{20}{1728}$	$\mp \frac{22}{432}$
$\pm \frac{5}{2}$				$-\frac{1}{1728}$	$\pm \frac{1}{432}$

Table 4

x	N <sub>4</sub> (x)	Ω <sub>4,1</sub> (x)				Ω <sub>4,1</sub> <sup>n</sup> (x)	Ω <sub>4,1</sub> <sup>m</sup> (x)
		l = 1	l = 2	l = 3	l = 4		
0	$\frac{2}{3}$	$\frac{210}{288}$	$\frac{1392}{1728}$	$\frac{9332}{10368}$	$\frac{63360}{62208}$	0	$-\frac{13704}{2592}$
$\pm \frac{1}{2}$	$\frac{23}{48}$	$\frac{144}{288}$	$\frac{902}{1728}$	$\frac{5647}{10368}$	$\frac{35307}{62208}$	$\mp \frac{14349}{10368}$	$-\frac{645}{2592}$
$\pm 1$	$\frac{1}{6}$	$\frac{40}{288}$	$\frac{176}{1728}$	$\frac{545}{10368}$	$\frac{-808}{62208}$	$\mp \frac{6772}{10368}$	$\frac{8222}{2592}$
$\pm \frac{3}{2}$	$\frac{1}{48}$	0	$-\frac{39}{1728}$	$-\frac{480}{10368}$	$-\frac{4359}{62208}$	$\pm \frac{1771}{10368}$	$\frac{321}{2592}$
$\pm 2$		$-\frac{1}{288}$	$-\frac{8}{1728}$	$-\frac{26}{10368}$	$\frac{256}{62208}$	$\pm \frac{752}{10368}$	$-\frac{1340}{2592}$
$\pm 5$			$\frac{1}{1728}$	$\frac{16}{10368}$	$\frac{155}{62208}$	$\mp \frac{265}{10368}$	$\frac{323}{2592}$
$\pm 3$				$\frac{1}{10368}$	$-\frac{24}{62208}$	$\pm \frac{28}{10368}$	$-\frac{30}{2592}$
$\pm \frac{7}{2}$					$\frac{1}{62208}$	$\mp \frac{1}{10368}$	$\frac{1}{2592}$

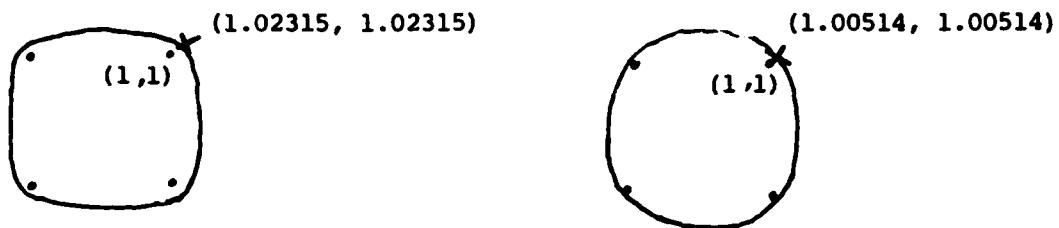
From (2.6), set  $n = 1, l = k, k = 3, 4$ . We obtain

$$S_{3,1} f(x_i) = y_i + \frac{5}{432} \bar{\Delta}^4 y_i ,$$

$$S_{4,1} f(x_i) = y_i + \frac{4}{7776} \bar{\Delta}^4 y_i - \frac{3}{7776} \bar{\Delta}^8 y_i .$$

Assume four points in the plane are given:

$$(0,0), \quad (1,0), \quad (1,1), \quad (0,1) .$$



t	$s_{3,1}^f$		$s_{4,1}^f$	
	x(t)	y(t)	x(t)	y(t)
1.6	0.65648	1.11870	0.61804	1.13213
1.8	0.89167	1.08685	0.83711	1.09813
2.0	1.02315	1.02315	1.00514	1.00514
2.2	1.08685	0.89167	1.09813	0.83711
2.4	1.11870	0.65648	1.13213	0.61804

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**ABSTRACT (continued)**

smoothing formulas

$$f_{k,n} = \frac{1}{h} \int_{-\infty}^{\infty} \Omega_{k,n} \left( \frac{\cdot - t}{h} \right) f(t) dt \quad \text{and} \quad S_{k,n} f = \sum f_i \Omega_{k,n}$$

are discussed.